

01/09/02

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	3620-P02781US0
First Inventor	INOUE, Akiyoshi
Title	Loan Intermediary Processing System and Method Thereof
Express Mail Label No.	EL680721062US

APPLICATION ELEMENTS

See MPEP chapter 800 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. ☒ Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS) PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 000110 (Print Customer Number or Attach Bar Code Label here) or ☒ Correspondence address below

Name	Roger W. Herrell, Esq.				
Address	Dann, Dorfman, Herrell & Skillman, P.C. 1601 Market Street, Suite 720				
City	Philadelphia	State	PA	Zip Code	19103
Country	U.S.A.	Telephone	215 563.4100	Fax	215 563.4044

Name (Print/Type)	Roger W. Herrell	Registration No. (Attorney/Agent)	22,964
Signature	<i>Roger W. Herrell</i>	Date	01/09/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 355.00

Complete if Known

Application Number	Not yet assigned
Filing Date	Concurrently herewith
First Named Inventor	INOUE, Akiyoshi
Examiner Name	
Group Art Unit	
Attorney Docket No.	3620-P02781US0

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 04-1406
- Deposit Account Name Dann, Dorfman, Herrell & Skillman, P.C.
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 740 201 370			Utility filing fee	355
108 000 206 000			Design filing fee	
107 000 207 000			Plant filing fee	
109 000 208 000			Reissue filing fee	
114 000 214 00			Provisional filing fee	

SUBTOTAL (1) (\$) 355

2. EXTRA CLAIM FEE

Total Claims	Extra Claims	Fee from below	Fee Paid
16	-20** = 0	X	0
2	-3** = 0	X	0
Multiple Dependent			0

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18 203 9		Claims in excess of 20
102 00 202 00		Independent claims in excess of 3
104 000 204 000		Multiple dependent claim, if not paid
109 00 209 00		** Reissue independent claims over original patent
110 18 210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65				Surcharge - late filing fee or oath	
127 50 227 25				Surcharge - late provisional filing fee cover sheet	
139 130 139 130				Non-English specification	
147 2,620 147 2,620				For filing a request for <i>ex parte</i> reexamination	
112 920* 112 920*				Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*				Requesting publication of SIR after Examiner action	
115 110 215 55				Extension for reply within first month	
116 000 216 000				Extension for reply within second month	
117 000 217 000				Extension for reply within third month	
118 000 218 000				Extension for reply within fourth month	
128 000 228 000				Extension for reply within fifth month	
119 000 219 000				Notice of Appeal	
120 000 220 000				Filing a brief in support of an appeal	
121 000 221 000				Request for oral hearing	
138 1,510 138 1,510				Petition to institute a public use proceeding	
140 110 240 55				Petition to revive - unavoidable	
141 000 241 000				Petition to revive - unintentional	
142 000 242 000				Utility issue fee (or reissue)	
143 000 243 000				Design issue fee	
144 000 244 000				Plant issue fee	
122 130 122 130				Petitions to the Commissioner	
123 50 123 50				Processing fee under 37 CFR 1.17(q)	
126 180 126 180				Submission of Information Disclosure Stmt	
581 40 581 40				Recording each patent assignment per property (times number of properties)	
146 000 246 000				Filing a submission after final rejection (37 CFR § 1.129(a))	
149 000 249 000				For each additional invention to be examined (37 CFR § 1.129(b))	
179 000 279 000				Request for Continued Examination (RCE)	
169 900 169 900				Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3) (\$) 0					

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type)	Roger W. Herrell, Esq.	Registration No. (Attorney/Agent)	22,964	Complete (if applicable)	
Signature		Telephone	215.563.4100	Date	01/09/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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